

NOTICE OF FINANCIAL ASSISTANCE AWARD

(See Instructions on Reverse)

Under the authority of Public Law _____
and subject to legislation, regulations and policies applicable to (cite legislative program title): _____

1. PROJECT TITLE Applied Research and Development of Technologies for the Management of Greenhouse Gases				2. INSTRUMENT TYPE <input type="checkbox"/> GRANT <input checked="" type="checkbox"/> COOPERATIVE AGREEMENT	
3. RECIPIENT (Name, address, zip code, area code and telephone no.) To All Prospective Offerors				4. INSTRUMENT NO.	
8. RECIPIENT PROJECT DIRECTOR (Name and telephone no.)				10. TYPE OF AWARD <input type="checkbox"/> NEW <input type="checkbox"/> CONTINUATION <input type="checkbox"/> RENEWAL <input type="checkbox"/> REVISION <input type="checkbox"/> SUPPLEMENT	
9. RECIPIENT BUSINESS OFFICER (Name and telephone no.)				5. AMENDMENT NO. 004	
11. DOE PROJECT OFFICER (Name, address, zip code, telephone no.)				7. PROJECT PERIOD FROM: THRU:	
12. ADMINISTERED FOR DOE BY (Name, address, zip code, telephone no.) Deborah J. Boggs, (304)285-4473 U.S. DOE, National Energy Technology Laboratory P.O. Box 880, Morgantown, WV 26507-0880				13. RECIPIENT TYPE <input type="checkbox"/> STATE GOV'T <input type="checkbox"/> INDIAN TRIBAL GOV'T <input type="checkbox"/> HOSPITAL <input type="checkbox"/> FOR PROFIT ORGANIZATION <input type="checkbox"/> INDIVIDUAL <input type="checkbox"/> LOCAL GOV'T <input type="checkbox"/> INSTITUTION OF HIGHER EDUCATION <input type="checkbox"/> OTHER NONPROFIT ORGANIZATION <input type="checkbox"/> C <input type="checkbox"/> P <input type="checkbox"/> SP <input type="checkbox"/> OTHER (Specify) _____	
14. ACCOUNTING AND APPROPRIATIONS DATA:				15. EMPLOYER I.D. NUMBER	
a. Appropriation Symbol		b. B&R Number		c. FT/AFP/OC	
d. CFA Number		16. BUDGET AND FUNDING INFORMATION		a. CURRENT BUDGET PERIOD INFORMATION	
(1) DOE Funds Obligated This Action \$ _____		(1) This Budget Period \$ _____		[Total of lines a.(1) and a.(3)]	
(2) DOE Funds Authorized for Carry Over \$ _____		(2) Prior Budget Periods \$ _____		(3) Project Period to Date \$ _____	
(3) DOE Funds Previously Obligated in this Budget Period \$ _____		[Total of lines b.(1) and b.(2)]		17. TOTAL ESTIMATED COST OF PROJECT \$ _____	
(4) DOE Share of Total Approved Budget \$ _____		(5) Recipient Share of Total Approval Budget \$ _____		(6) Total Approved Budget \$ _____	
18. AWARD AGREEMENT TERMS AND CONDITIONS This award/agreement consists of this form plus the following: a. Special terms and conditions. b. Applicable program regulations (specify) _____ (Date) _____. c. DOE Assistance Regulations, 10 CFR Part-600, as amended. d. Application/proposal dated _____, <input type="checkbox"/> as submitted <input type="checkbox"/> with changes as negotiated.					
19. REMARKS The purpose of this amendment is to revise the final due date for proposals for Federal Assistance Solicitation DE-PS26-99FT40613. For a description of the amendment, please refer to the following pages. The applicant shall specifically indicate their acknowledgment and receipt of the amendment posted on the NETL Website at http://www.netl.doe.gov/business/solicit/ by signing the amendment and including it in Volume I or stating the receipt of the amendment in the text of Volume I					
20. EVIDENCE OF RECIPIENT ACCEPTANCE _____ (Signature of Authorized Recipient Official) _____ (Date) _____ (Name) _____ (Title)				21. AWARDED BY Original signed by _____ 7/11/00 (Signature) (Date) R aymond R. Jarr (Name) Contracting Officer (Title)	

INSTRUCTIONS

(This form shall be completed in accordance with the following instructions. For any clarification or additional information that might be needed, consult the appropriate section of the DOE Financial Assistance Procedures Manual (DOE-FAPM).)

Insert in the space provided, in the line which begins, "Under the Authority of Public Law ...," the number and the name of the Public Law which authorizes this award. On the line below, enter the title of the pertinent program.

Block 1 — Enter the project title as it appears in the SF-424 or equivalent application/proposal face sheet.

Block 2 — Place a checkmark in the box beside the appropriate financial assistance instrument.

Block 3 — Enter the name, address, and telephone number of the applicant/proposer as it appears in the SF-424 or equivalent application/proposal face sheet.

Block 4 — Enter the instrument number. (See DOE-FAPM.)

Block 5 — Enter the appropriate amendment number. (See DOE-FAPM for guidance.)

Block 6 — Enter the starting date and expiration date for the current budget period. If a budget period is being changed, enter the starting date and expiration date for the budget period, as changed.

Block 7 — Enter the starting date and anticipated completion date for the project. If a project period is being changed, enter the starting date and anticipated completion date for the project period, as changed.

Block 8 — Enter the name and telephone number of the individual designated by the applicant/proposer as the director of the project.

Block 9 — Enter the name and telephone number of the individual designated by the applicant/proposer as the contact for all business matters.

Block 10 — Place a checkmark in the box opposite the term which identifies the type of action being taken. (The terms are defined in the DOE-FAPM.)

Block 11 — Enter the name, address, and telephone of the individual designated by the DOE program office as the project officer.

Block 12 — Enter the name, address, and telephone number of the individual/organization who will administer the agreement for DOE.

Block 13 — Place a checkmark in the box beside the applicable recipient type. If the recipient is a for-profit organization, also check one of the lower boxes as follows: "C" for Corporation, "P" for Partnership, and "SP" for Sole Partnership. If the recipient is of a type not indicated, place a checkmark in the box beside "Other," and identify the recipient type in the space provided.

Block 14 — Enter where indicated, the appropriation symbol, B&R number, Fund Type (FT)/AFP Code (AFP)/Objective Class (OC) and CFA Number from the Procurement/Financial Assistance Request Authorization (DOE Form PR-799A). Completion Block 14.d. is required only for awards made by Headquarters.

Block 15 — Enter the applicant's/proposer's Federal Employer Identification No. from the SF-424 or equivalent application/proposal face sheet, or if the applicant/proposer is an individual, enter his/her social security number.

Block 16 — Entries should be made as follows. (If no dollar entry is appropriate, a zero should be entered to indicate there was no error of omission.)

Line a.(1) — Enter the amount of DOE funds obligated by this action.

Line a.(2) — Enter the amount of DOE funds not expended in prior budget period(s), if any, authorized by DOE for expenditure in the current budget period.

Line a.(3) — Enter the amount of DOE funds previously obligated in the current budget period.

Line a.(4) — Enter DOE's share of the total approved budget shown in Line a.(6).

Line a.(5) — Enter the recipient's share of the total approved budget shown on Line a.(6).

Line a.(6) — Enter the total approved budget for the current budget period. (Add the amounts in Lines a.(4) and a.(5).)

Line b.(1) — Enter the amount of DOE funds obligated in the current budget period. (Add the amounts in Lines a.(1) and a.(3).)

Line b.(2) — Enter the amount obligated by DOE in prior budget periods.

Line b.(3) — Enter the amount obligated by DOE in the project period to date. (Add the amounts in Lines b.(1) and b.(2).)

Block 17 — Must be completed for cooperative agreements. Contracting Officers may exercise discretion as to whether to complete it for grants. Enter the blank provided, the amount which represents the current estimate of total funds and dollar value of in-kind contributions (both DOE and recipient shares) needed to carry out the entire project. Include all funds and contributions previously provided, those being provided by this action, and all anticipated future obligations and contributions of both parties.

Block 18 — Complete as follows.

Item a. — No entry necessary.

Item b. — Enter the legal citation from the Code of Federal Regulations or Federal Register and the effective date for the program regulations applicable to the program under which the award is made.

Item c. — Mark the box beside B for grants or C for cooperative agreements.

Item d. — In the blank provided, enter the date of the application/proposal. (If SF-424 is used, see block 23c on page 1.) Place a checkmark in the appropriate box to indicate whether the application/proposal was accepted as submitted or with negotiated changes.

Block 19 — Enter any explanation or advisory comments which are required for, or applicable to, this action.

Block 20 — Will be completed by the recipient.

Block 21 — The Contracting Officer shall sign and date the top line. His/her name and title should be entered on the next two lines. This box must be signed prior to forwarding to recipient.

FEDERAL ASSISTANCE SOLICITATION NO. DE-PS26-99FT40613
APPLIED RESEARCH AND DEVELOPMENT OF TECHNOLOGIES FOR THE
MANAGEMENT OF GREENHOUSE GASES
Amendment 004

The purpose of this amendment is to modify the date applications are due; change the proposal coversheet for Volume 1 applications; and revise the anticipated selection date clause. Accordingly, the solicitation is amended as follows:

1. Clause 5.13 TIME, DATE AND PLACE APPLICATIONS ARE DUE - MULTIPLE DUE DATES (AUG 1999). The text of the clause is deleted in its entirety and replaced with the following:

“Applications shall be submitted in paper and disk media in sealed envelopes or packages addressed to the office and point of contact specified below:

APPLICATIONS MUST BE RECEIVED AT THE FOLLOWING MAILING ADDRESS NO LATER THEN 4:00 P.M. ON **AUGUST 31, 2000**.

Evaluation Period

1
2

Closing Date

January 18, 2000 (Closed)
August 31, 2000

Applications that are received after the due date specified above will not be accepted for evaluation purposes and will be returned to the applicant upon receipt of a written request.

U. S. Department of Energy
National Energy Technology Laboratory
P. O. Box 880
3610 Collins Ferry Road
Morgantown, WV 26507-0880

Point of Contact: Deborah J. Boggs
Telephone Number: (304)285-4473
Fax Number: (304)285-4683
E-MAIL Address: dboggs@netl.doe.gov
Contracting Officer: Raymond R. Jarr

External Marking of Applications

Applications shall be marked with the following information:

- (1) The address of Proposer
- (2) Solicitation Number
- (3) Due Time and Date of Applications
- (4) Point of Contact at Issuing Office”

This amendment extends the due date of proposals for the second evaluation period from July 31 to August 31, 2000.

2. Section VI - Application Preparation Instructions - Clause 6.3 Volume 1-- Business and Financial Application Preparation Instructions (Aug 1999). Attachment 1 in Amendment 001 is superseded by the following Attachment 1 dated July 11, 2000.

This revision is to add “Including Subcontractors” to each of the R&D stages. This is necessary to cause the offeror to provide total dollars of the project including subcontractors. Proposers are cautioned to use Attachment 1 on Volume I only. No cost information should be proposed in Volume II.

3. Clause 5.24 ANTICIPATED SELECTION AND AWARD DATES - MULTIPLE DUE DATES (AUG 1999). The text of this clause is deleted in its entirety and replaced with the following:

“Awards for the second evaluation period are expected to be made within 90 calendar days following the selection.”

Attachment 1
July 11, 2000

This is the Proposal Coversheet for Volume I and shall be provided with the original and each copy of Volume I.

VOLUME I--BUSINESS AND FINANCIAL APPLICATION PREPARATION INSTRUCTIONS
Applied Research and Development of Technologies for the Management of Greenhouse Gases
DE-PS26-99FT40613

Proposal No. _____
(For official use only)

Proposal Date: _____

Acceptance Days: _____

Proposed Title: _____

Topic Area: (Check One Appropriate Block)

- ☐ Separation and Capture
- ☐ Sequestration of CO₂ in Geologic Formations
- ☐ Ocean Sequestration
- ☐ Carbon Sequestration in Terrestrial Ecosystems (Soils and Vegetation)
- ☐ Advanced Concepts (Chemical, Biological, and Other Approaches)
- ☐ Modeling and Assessments

Proposed Stage of R&D: {Check Appropriate Block(s)} -- See Attachment 3 of Amendment 1 for a definition of the various stages of research and development.

- ☐ Basic Research
(Total Dollar Value Including Subcontractors: \$ _____ & Percentage: _____)
- ☐ Applied Research and Exploratory Development
(Total Dollar Value Including Subcontractors: \$ _____ & Percentage: _____)
- ☐ Advanced Development
(Total Dollar Value Including Subcontractors: \$ _____ & Percentage: _____)
- ☐ Engineering/Operational Systems Development
(Total Dollar Value Including Subcontractors: \$ _____ & Percentage: _____)

Company Name: _____

Address: _____

Point of Contact: _____

Telephone/FAX Number: _____

Principal Investigator: _____

Telephone Number: _____

PROPRIETARY INFORMATION: Does this submittal contain Proprietary or Confidential Information?

____ NO ____ YES (if yes, complete box below)

NOTICE OF RESTRICTIONS ON DISCLOSURE AND USE OF DATA

The data contained on pages _____ of this proposal are submitted in confidence and contain trade secrets or privileged or confidential commercial and financial information. Such data may be used or disclosed only for evaluation purposes. If an award is made to the applicant as a result of or in connection with the submission of this proposal, the Government shall have the right to use or disclose data herein to the extent provided in the award. This restriction does not limit the Government's right to use or disclose data obtained without restriction from any source, including the applicant.